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# NOTICE OF ALLOWANCE AND FEE(S) DUE

7590 05/18/2009

Frank Bonini Jr. 86 The Commons at Valley Forge East 1288 Valley Forge Road P.O. Box 750 Valley Forge, PA 19482-0750

EXAMINER				
PYZOCHA, MICHAEL J				
ART UNIT	PAPER NUMBER			

2437 DATE MAILED: 05/18/2009

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/032.251	12/21/2001	Peter V. Radatti	CSI-01	6643

TITLE OF INVENTION: APPARATUS, METHODS AND ARTICLES OF MANUFACTURE FOR SECURING COMPUTER NETWORKS

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	YES	\$755	\$300	\$0	\$1055	08/18/2009

THE APPLICATION IDENTIFIED ABOVE HAS BEEN EXAMINED AND IS ALLOWED FOR ISSUANCE AS A PATENT. PROSECUTION ON THE MERITS IS CLOSED. THIS NOTICE OF ALLOWANCE IS NOT A GRANT OF PATENT RIGHTS. THIS APPLICATION IS SUBJECT TO WITHDRAWAL FROM ISSUE AT THE INITIATIVE OF THE OFFICE OR UPON PETITION BY THE APPLICANT. SEE 37 CFR 1.313 AND MPEP 1308.

THE ISSUE FEE AND PUBLICATION FEE (IF REQUIRED) MUST BE PAID WITHIN THREE MONTHS FROM THE MAILING DATE OF THIS NOTICE OR THIS APPLICATION SHALL BE REGARDED AS ABANDONED. THIS STATUTORY PERIOD CANNOT BE EXTENDED. SEE 35 U.S.C. 151. THE ISSUE FEE DUE INDICATED ABOVE DOES NOT REFLECT A CREDIT FOR ANY PREVIOUSLY PAID ISSUE FEE IN THIS APPLICATION. IF AN ISSUE FEE HAS PREVIOUSLY BEEN PAID IN THIS APPLICATION (AS SHOWN ABOVE), THE RETURN OF PART B OF THIS FORM WILL BE CONSIDERED A REQUEST TO REAPPLY THE PREVIOUSLY PAID ISSUE FEE TOWARD THE ISSUE FEE NOW DUE.

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B. If applicant claimed SMALL ENTITY status before, or is now claiming SMALL ENTITY status, check box 5a on Part B - Fee(s) Transmittal and pay the PUBLICATION FEE (if required) and 1/2 the ISSUE FEE shown above.

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INSTRUCTIONS: This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 5 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for

maintenance fee notifications. Note: A certificate of mailing can only be used for domestic mailings of the CURRENT CORRESPONDENCE ADDRESS (Note: Use Block 1 for any change of address) Fee(s) Transmittal. This certificate cannot be used for any other accompanying papers. Each additional paper, such as an assignment or formal drawing, must have its own certificate of mailing or transmission. 7590 05/18/2009 Certificate of Mailing or Transmission Frank Bonini Jr. I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Mail Stop ISSUE FEE address above, or being facsimile transmitted to the USPTO (571) 273-2885, on the date indicated below. 86 The Commons at Valley Forge East 1288 Valley Forge Road P.O. Box 750 (Depositor's name Valley Forge, PA 19482-0750 (Signature (Date APPLICATION NO. FILING DATE FIRST NAMED INVENTOR ATTORNEY DOCKET NO. CONFIRMATION NO. 10/032,251 12/21/2001 Peter V. Radatti 6643 TITLE OF INVENTION: APPARATUS, METHODS AND ARTICLES OF MANUFACTURE FOR SECURING COMPUTER NETWORKS APPLN. TYPE SMALL ENTITY ISSUE FEE DUE PUBLICATION FEE DUE PREV. PAID ISSUE FEE TOTAL FEE(S) DUE DATE DUE nonprovisional YES \$755 \$300 \$0 \$1055 08/18/2009 **EXAMINER** ART UNIT CLASS-SUBCLASS PYZOCHA, MICHAEL J 2437 713-201000 1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363). 2. For printing on the patent front page, list (1) the names of up to 3 registered patent attorneys ☐ Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached. or agents OR, alternatively, (2) the name of a single firm (having as a member a ☐ "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-02 or more recent) attached. Use of a Customer Number is required. registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed. 3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type) PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. If an assignee is identified below, the document has been filed for recordation as set forth in 37 CFR 3.11. Completion of this form is NOT a substitute for filing an assignment. (A) NAME OF ASSIGNEE (B) RESIDENCE: (CITY and STATE OR COUNTRY) 4b. Payment of Fee(s): (Please first reapply any previously paid issue fee shown above) 4a. The following fee(s) are submitted: lssue Fee A check is enclosed. Publication Fee (No small entity discount permitted) Payment by credit card. Form PTO-2038 is attached. The Director is hereby authorized to charge the required fee(s), any deficiency, or credit any overpayment, to Deposit Account Number \_\_\_\_\_\_ (enclose an extra copy of this fo Advance Order - # of Copies \_ (enclose an extra copy of this form). 5. Change in Entity Status (from status indicated above) a. Applicant claims SMALL ENTITY status. See 37 CFR 1.27. ■ b. Applicant is no longer claiming SMALL ENTITY status. See 37 CFR 1.27(g)(2). NOTE: The Issue Fee and Publication Fee (if required) will not be accepted from anyone other than the applicant; a registered attorney or agent; or the assignee or other party in interest as shown by the records of the United States Patent and Trademark Office. Authorized Signature Date Typed or printed name Registration No. This collection of information is required by 37 CFR 1.311. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

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Frank Bonini Jr.			PYZOCHA, MICHAEL J		
86 The Commons at Valley Forge East			ART UNIT	PAPER NUMBER	
1288 Valley Forge	Road		2437		
P.O. Box 750 Valley Forge, PA 19482-0750			DATE MAILED: 05/18/2009		
vaney Forge, PA	.9482-0730				

# Determination of Patent Term Adjustment under 35 U.S.C. 154 (b)

(application filed on or after May 29, 2000)

The Patent Term Adjustment to date is 821 day(s). If the issue fee is paid on the date that is three months after the mailing date of this notice and the patent issues on the Tuesday before the date that is 28 weeks (six and a half months) after the mailing date of this notice, the Patent Term Adjustment will be 821 day(s).

If a Continued Prosecution Application (CPA) was filed in the above-identified application, the filing date that determines Patent Term Adjustment is the filing date of the most recent CPA.

Applicant will be able to obtain more detailed information by accessing the Patent Application Information Retrieval (PAIR) WEB site (http://pair.uspto.gov).

Any questions regarding the Patent Term Extension or Adjustment determination should be directed to the Office of Patent Legal Administration at (571)-272-7702. Questions relating to issue and publication fee payments should be directed to the Customer Service Center of the Office of Patent Publication at 1-(888)-786-0101 or (571)-272-4200.

	Application No.	Applicant(s)	
	10/032,251	RADATTI, PETER V.	
Notice of Allowability	Examiner	Art Unit	
	MICHAEL PYZOCHA	2437	
The MAILING DATE of this communication appe All claims being allowable, PROSECUTION ON THE MERITS IS herewith (or previously mailed), a Notice of Allowance (PTOL-85)	ears on the cover sheet with (OR REMAINS) CLOSED in to or other appropriate commun	the correspondence address his application. If not included ication will be mailed in due cou	rse. <b>THIS</b>
NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RI of the Office or upon petition by the applicant. See 37 CFR 1.313		bject to withdrawal from issue at	the initiative
1. X This communication is responsive to amendment filed 3/13	<u> 1/09</u> .		
2. ☑ The allowed claim(s) is/are <u>8-13 and 28-40</u> .			
3. Acknowledgment is made of a claim for foreign priority un	der 35 U.S.C. § 119(a)-(d) or	(f).	
a) All b) Some* c) None of the:			
<ol> <li>Certified copies of the priority documents have</li> </ol>	been received.		
2.   Certified copies of the priority documents have	• •		
<ol><li>Copies of the certified copies of the priority doc</li></ol>	cuments have been received	in this national stage application	from the
International Bureau (PCT Rule 17.2(a)).			
* Certified copies not received:			
Applicant has THREE MONTHS FROM THE "MAILING DATE" on noted below. Failure to timely comply will result in ABANDONM THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.		reply complying with the require	ements
4. A SUBSTITUTE OATH OR DECLARATION must be subminion INFORMAL PATENT APPLICATION (PTO-152) which give			ICE OF
5. CORRECTED DRAWINGS ( as "replacement sheets") mus	t be submitted.		
(a) $\square$ including changes required by the Notice of Draftspers	on's Patent Drawing Review	( PTO-948) attached	
1) ☐ hereto or 2) ☐ to Paper No./Mail Date			
(b) ☐ including changes required by the attached Examiner's Paper No./Mail Date	S Amendment / Comment or i	n the Office action of	
Identifying indicia such as the application number (see 37 CFR 1. each sheet. Replacement sheet(s) should be labeled as such in the			k) of
<ol> <li>DEPOSIT OF and/or INFORMATION about the deposit attached Examiner's comment regarding REQUIREMENT I</li> </ol>			the:
Attachment(s)	_		
1. Notice of References Cited (PTO-892)		rmal Patent Application	
2. Notice of Draftperson's Patent Drawing Review (PTO-948)		lail Date	
<ol> <li>Information Disclosure Statements (PTO/SB/08), Paper No./Mail Date</li> </ol>		mendment/Comment	
<ol> <li>Examiner's Comment Regarding Requirement for Deposit of Biological Material</li> </ol>		tatement of Reasons for Allowa	nce
	9.		

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### **DETAILED ACTION**

#### **EXAMINER'S AMENDMENT**

1. An examiner's amendment to the record appears below. Should the changes and/or additions be unacceptable to applicant, an amendment may be filed as provided by 37 CFR 1.312. To ensure consideration of such an amendment, it MUST be submitted no later than the payment of the issue fee.

Authorization for this examiner's amendment was given in a telephone interview with Frank J. Bonini, Jr. (Reg. No. 35,452) on 05/11/2009. Authorization has also been given to charge any additional fees which maybe required to Patent Office Deposit Account No. 05-0208.

The application has been amended as follows:

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### LISTING OF THE CLAIMS:

Claims 1-7 (Cancelled).

8. (Currently Amended) A method as in claim [[1]] <u>32</u> further comprising the step of reporting the results of said comparison.

- 9. (Currently Amended) A method as in claim [[1]] <u>32</u> further comprising the step of logging the results of said comparison.
- 10. (Currently Amended) A method as in claim [[1]] <u>32</u> further comprising the step of securing a client in lock down mode.
- 11. (Currently Amended) A method as in claim [[1]] <u>32</u> further comprising the step of initiating a client status mechanism.
- 12. (Currently Amended) A method as in claim [[1]] <u>32</u> further comprising the step of initiating an Auto Restore component.
- 13. (Currently Amended) A method as in claim [[1]] <u>32</u> wherein the step of providing a client state code further comprises generating a client state code.

  Claims 14-27 (Cancelled).
- 28. (Currently Amended) The method of claim [[1]] <u>32</u>, wherein said clients within said network are identical clients, and wherein said client state codes of the said identical clients are identical.
- 29. (Currently Amended) The method of claim [[1]] 32, wherein said clients within said network have one or more files present thereon which are common to one or more clients on said network, said files,

wherein said hash code table includes file names and hash codes which are concatenated and stored in said table.

- 30. (Currently Amended) The method of claim [[1]] 32, wherein said method involves initiating a client process from a computer, and wherein providing a hash code table of a client comprises providing a hash code table for the computer from which the client process was initiated.
- 31. (Currently Amended) The method of claim [[1]] <u>32</u>, wherein the client state code is transmitted along with authentication.
- 32. (Previously Presented) A method for securing, maintaining, monitoring and controlling computer networks and clients located therein, comprising: providing a hash code table of a client said hash code table being provided for storing a plurality of files; providing a client state code of a client; comparing said client state code to said hash code table, and generating an alert mechanism when a deviation threshold is reached based on a deviation between said hash code table values for said client and said client state code;

wherein said hash code table includes the hash codes for files on computers within the network that are to be secured;

the method further including:

transmitting across a network from clients located in the network a client state code;

providing at least one server within the network assigned to recognize said client state code transmission,

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wherein said server maintains a baseline for said client, and
wherein said baseline comprises said hash code table of a said client;
wherein the step of providing a hash code table of a network device further
comprises providing a secure hash code table;

wherein the step of providing a secure hash code table further comprises generating a secure hash code table; and

wherein the step of generating a secure hash code table further comprises generating a secure hash code table using at least one compiled client hash value, wherein said compiled client hash value is generated by: providing a secure system state data file; grouping said secure system data file into one or more groups; and, extracting the modal hash value from any of said groups.

33. (Currently Amended) The [[A]] computer storage component of claim 34, including software containing the hash code table generated by a method for securing, maintaining, monitoring and controlling computer networks and clients located therein, comprising: providing a hash code table of a client said hash code table being provided for storing a plurality of files; providing a client state code of a client; comparing said client state code to said hash code table, and generating an alert mechanism when a deviation threshold is reached based on a deviation between said hash code table values for said client and said client state code; wherein said hash code table includes the hash codes for files on computers within the network that are to be secured;

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transmitting across a network from clients located in the network a client state

code;

providing at least one server within the network assigned to recognize said client state code transmission.

wherein said server maintains a baseline for said client, and

wherein said baseline comprises said hash code table of a said client; wherein the step of providing a hash code table of a network device further comprises providing a secure hash code table;

wherein the step of providing a secure hash code table further comprises
generating a secure hash code table; and

wherein the step of generating a secure hash code table further comprises generating a secure hash code table using at least one compiled client hash value.

34. (Previously Presented) A computer storage component including software containing the hash code table generated by a method for securing, maintaining, monitoring and controlling computer networks and clients located therein, comprising: providing a hash code table of a client said hash code table being provided for storing a plurality of files; providing a client state code of a client; comparing said client state code to said hash code table, and generating an alert mechanism when a deviation threshold is reached based on a deviation between said hash code table values for said client and said client state code;

wherein said hash code table includes the hash codes for files on computers within the network that are to be secured;

the method further including:

transmitting across a network from clients located in the network a client state code;

providing at least one server within the network assigned to recognize said client state code transmission,

wherein said server maintains a baseline for said client, and

wherein said baseline comprises said hash code table of a said client; wherein the step of providing a hash code table of a network device further comprises providing a secure hash code table;

wherein the step of providing a secure hash code table further comprises generating a secure hash code table; and

wherein the step of generating a secure hash code table further comprises generating a secure hash code table using at least one compiled client hash value, wherein said compiled client hash value is generated by: providing a secure system state data file; grouping said secure system data file into one or more groups; and, extracting the modal hash value from any of said groups.

35. (Currently Amended) The [[A]] computer storage component of claim 34, including software containing the hash code table generated by a method for securing, maintaining, monitoring and controlling computer networks and clients located therein, comprising: providing a hash code table of a client said hash code table being provided for storing a plurality of files; providing a client state code of a client; comparing said client state code to said hash code table, and generating an alert mechanism when a

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deviation threshold is reached based on a deviation between said hash code table values for said client and said client state code;

wherein said hash code table includes the hash codes for files on computers within the network that are to be secured;

the method further including:

transmitting across a network from clients located in the network a client state code:

providing at least one server within the network assigned to recognize said client state code transmission,

wherein said server maintains a baseline for said client, and

wherein said baseline comprises said hash code table of a said client;

wherein the step of providing a hash code table of a network device further comprises providing a secure hash code table;

wherein the step of providing a secure hash code table further comprises generating a secure hash code table; and

wherein the stop of generating a secure hash code table further comprises generating a secure hash code table using at least one exemplary system.

36. (Currently Amended) The [[A]] computer storage component of claim 34, including software containing the hash code table generated by a method for securing, maintaining, monitoring and controlling computer networks and clients located therein, comprising: providing a hash code table of a client said hash code table being provided for storing a plurality of files; providing a client state code of a client; comparing said

client state code to said hash code table, and generating an alert mechanism when a deviation threshold is reached based on a deviation between said hash code table values for said client and said client state code;

wherein said hash code table includes the hash codes for files on computers within the network that are to be secured;

the method further including:

transmitting across a network from clients located in the network a client state code:

providing at least one server within the network assigned to recognize said client state code transmission.

wherein said server maintains a baseline for said client, and
wherein said baseline comprises said hash code table of a said client;
wherein the step of providing a hash code table of a network device further
comprises providing a secure hash code table;

wherein the step of providing a secure hash code table further comprises generating a secure hash code table; and

wherein the step of generating a secure hash code table further comprises generating a secure hash code table using at least one baseline secure value.

37. (Currently Amended) A method for securing, maintaining, monitoring and controlling computer networks and clients located therein, comprising:

providing a hash code table of a client on at least one storage component of a computer network device or client; providing a client state code of a client on at least one storage component of a computer network device or client;

comparing said client state code to said hash code table, wherein said hash code table is operable for one or more client platforms;

wherein providing a hash code table includes gathering baseline values to define modal values and generating said hash code table using said defined modal values,

wherein each of said clients uses the same or different operating platform as another of said client, and wherein regardless of the operating platform used by a said client, said client state code is compared to said generated hash code table.

38. (New) A method for securing, maintaining, monitoring and controlling computer networks and clients located therein, comprising: providing a network of computing components, including at least a plurality of clients, and at least one server; providing a hash code table of a client said hash code table being provided for storing a plurality of files; providing a client state code of a client; comparing said client state code to said hash code table, and generating an alert mechanism when a deviation threshold is reached based on a deviation between said hash code table values for said client and said client state code;

wherein said hash code table includes the hash codes for files on computers within the network that are to be secured;

the method further including:

transmitting across a network from clients located in the network a client state

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code;

providing at least one server within the network assigned to recognize said client state code transmission,

wherein said server maintains a baseline for said client, and
wherein said baseline comprises said hash code table of a said client;
wherein the step of providing a hash code table of a network device further
comprises providing a secure hash code table;

wherein the step of providing a secure hash code table further comprises generating a secure hash code table; and

wherein the step of generating a secure hash code table further comprises generating a secure hash code table using at least one compiled client hash value, wherein said compiled client hash value is generated by: providing a secure system state data file; grouping said secure system data file into one or more groups; and, extracting the modal hash value from any of said groups.

39. (New) A computer storage component including software containing the hash code table generated by a method for securing, maintaining, monitoring and controlling computer networks and clients located therein, comprising: providing a network of computing components, including at least a plurality of clients, and at least one server; providing a hash code table of a client said hash code table being provided for storing a plurality of files; providing a client state code of a client; comparing said client state code to said hash code table, and generating an alert mechanism when a deviation threshold is reached based on a deviation between said hash code table values for said client and

said client state code; wherein said hash code table includes the hash codes for files on computers within the network that are to be secured;

the method further including:

transmitting across a network from clients located in the network a client state code;

providing at least one server within the network assigned to recognize said client state code transmission,

wherein said server maintains a baseline for said client, and

wherein said baseline comprises said hash code table of a said client; wherein the step of providing a hash code table of a network device further comprises providing a secure hash code table;

wherein the step of providing a secure hash code table further comprises generating a secure hash code table; and

wherein the step of generating a secure hash code table further comprises generating a secure hash code table using at least one compiled client hash value, wherein said compiled client hash value is generated by: providing a secure system state data file; grouping said secure system data file into one or more groups; and, extracting the modal hash value from any of said groups.

40. (New) A method for securing, maintaining, monitoring and controlling computer networks and clients located therein, comprising: providing a network of computing components, including at least a plurality of clients, and at least one server;

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providing a hash code table of a client on at least one storage component of a computer network device or client; providing a client state code of a client on at least one storage component of a computer network device or client;

comparing said client state code to said hash code table, wherein said hash code table is operable for one or more client platforms;

wherein providing a hash code table includes gathering baseline values to define modal values and generating said hash code table using said defined modal values,

wherein each of said clients uses the same or different operating platform as another of said client, and wherein regardless of the operating platform used by a said client, said client state code is compared to said generated hash code table.

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## Allowable Subject Matter

2. The following is an examiner's statement of reasons for allowance: As indicated in the Office Action mailed 09/08/2008 the prior art fails to teach gathering/grouping values/files and extracting the modal value(s) to provide a hash code table in combination with the remaining claimed limitations. The additional amendments made to claim 37 were made to place the claim in compliance with 35 USC 101.

Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."

#### Conclusion

Any inquiry concerning this communication or earlier communications from the examiner should be directed to MICHAEL PYZOCHA whose telephone number is (571)272-3875. The examiner can normally be reached on Monday-Thursday, 7:00am - 4:30pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Emmanuel Moise can be reached on (571) 272-3865. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/Michael Pyzocha/ Examiner, Art Unit 2437